



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
-----------------	-------------	----------------------	---------------------	------------------

09/505,735

02/16/2000

Alessandro Muti

MFCP.68276

6053

5251

7590

12/06/2006

SHOOK, HARDY & BACON LLP
INTELLECTUAL PROPERTY DEPARTMENT
2555 GRAND BLVD
KANSAS CITY, MO 64108-2613

EXAMINER

AVELLINO, JOSEPH E

ART UNIT

PAPER NUMBER

2143

DATE MAILED: 12/06/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/505,735

Applicant(s)

MUTI ET AL.

Examiner

Joseph E. Avellino

Art Unit

2143

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 02 October 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-10 and 12-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-10 and 12-30 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-10, and 12-30 are presented for examination.
2. In view of the Brief filed on October 2, 2006, PROSECUTION IS HEREBY REOPENED. A new rejection is set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 CFR 41.20 have been increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing below:

Claim Rejections - 35 USC § 103

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claims 1-9, 14-27, and 29-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rakavy et al. (USPN 5,913,040) (hereinafter Rakavy) in view of Garg et al. (USPN 6,327,677) (Hereinafter Garg).

3. Referring to claim 1, Rakavy discloses a method of transferring a set of data over a network comprising:

monitoring the level of bandwidth utilization (col. 14, lines 8-9);

calculating a threshold level of utilization as a function of the monitored level of utilization (col. 13, line 66 to col. 14, line 7); and

if the actual level is less than the threshold level, receiving at least a portion of the set of data over the network (col. 14, lines 16-21).

Rakavy does not disclose identifying a maximum monitored level of actual utilization and that the threshold level of utilization is calculated as a function of the maximum monitored level of utilization. In analogous art, Garg discloses another method of transferring data over a network comprising the steps of:

identifying a maximum monitored level of actual utilization (i.e. PeakHistoricalUtilization) (col. 12, lines 15-20); and

calculating a threshold level of as a function of the maximum monitored level of utilization (i.e. determine if the network utilization has exceeded the peak historical utilization * 1.25) (col. 12, lines 15-44).

monitoring the level of actual network bandwidth utilization (an inherent feature, otherwise there would be no way to determine if the transmission of the data would cause the connection data to exceed the maximum threshold value) (col. 12); and

if the actual level is less than the threshold level, receiving a portion over the network (i.e. if the network utilization is below the threshold set, then an alarm would not be triggered) (col. 12);

It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Rakavy with Garg, since Rakavy discloses numerous methods of calculating line utilization and methods of determining if the data may be downloaded in the background (col. 13, lines 5-10; col. 13, line 66 to col. 14, line 7). This would motivate one of ordinary skill in the art to search for other methods of bandwidth utilization determining, eventually finding the system of Garg, which compares recent network utilization with historical network operation as supported by Garg (col. 2, lines 33-36).

4. Referring to claim 2, Rakavy discloses the client receives the data over the network from a server (col. 5, lines 32-39).

5. Referring to claim 3, Rakavy discloses said monitoring occurs at the interface between the client and the network (col. 14, lines 8-15).

Art Unit: 2143

6. Referring to claim 4, Rakavy discloses the network is the Internet (col. 5, lines 8-9).

7. Referring to claim 5, Rakavy discloses the threshold level is equal to a predetermined percentage of the maximum monitored level (col. 13, lines 35-44).

8. Referring to claim 6, Rakavy discloses the set of data includes a software update (col. 3, lines 60-62; col. 15, lines 22-27).

9. Referring to claim 7, Rakavy discloses repeating at least said monitoring step each time a portion of the set of data is received (Figure 6, reference character 43 and related parts of the disclosure).

10. Referring to claim 8, Rakavy discloses separately receiving a plurality of discrete portions of the set of data over the network when the actual level is less than the threshold level (col. 14, lines 32-60).

11. Referring to claim 9, Rakavy discloses a method of transferring a set of data over a network as stated in the claims above. Rakavy does not disclose incrementing a counter each time a discrete portion of the data is received over the network. "Official Notice" is taken that both the concept and advantages of providing for incrementing a counter each time a portion of data is received is well known and expected in the art. It

would have been obvious to one of ordinary skill in the art to provide incrementing a counter each time a portion of data is received to the combined system of Rakavy and Riggan to keep an accurate track of the number of packets received for this data set.

12. Referring to claim 14, Rakavy discloses suspending the receipt of discrete portions of the data if the level of actual utilization becomes greater than the threshold level (col. 14, lines 16-21).

13. Referring to claim 15, Rakavy discloses resuming the receipt of discrete portions of the data from the point of suspension when the level of actual utilization becomes less than the threshold level (col. 13, lines 23-34).

Referring to claim 16, Rakavy discloses a method of transferring a set of data over a network as stated in the claims above. Rakavy further discloses repeating said monitoring step each time a portion of the set of data is received (Figure 6, reference character 43 and related parts of the disclosure). Rakavy does not disclose identifying a maximum level of utilization during receipt of the set of data and calculating a threshold level of utilization for the set of data as a function of the maximum level of utilization identified during receipt of the set of data. In analogous art, Garg discloses another method of transferring data over a network comprising the steps of:

identifying a maximum monitored level of actual utilization (i.e. peak historical bandwidth) (col. 12, lines 15-20); and

calculating a threshold level of utilization (i.e. peak historical utilization * 1.25) as a function of the maximum monitored level of utilization (col. 12);

monitoring the level of actual network bandwidth utilization (an inherent feature, otherwise there would be no way to determine if the transmission of the data would cause the connection data to exceed the maximum threshold value) (col. 2, lines 60-65; col. 8, lines 30-47); and

if the actual level is less than the threshold level, receiving a portion over the network (i.e. the system would raise an alarm, which could tell the background downloader to cease downloading) (col. 8, lines 30-47).

It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Rakavy with Garg, since Rakavy discloses numerous methods of calculating line utilization and methods of determining if the data may be downloaded in the background (col. 13, lines 5-10; col. 13, line 66 to col. 14, line 7). This would motivate one of ordinary skill in the art to search for other methods of bandwidth utilization determining, eventually finding the system of Garg, which compares recent network utilization with historical network operation as supported by Garg (col. 2, lines 33-36).

14. Referring to claim 17, Rakavy discloses a method of transferring a set of data over a network as stated in the claims above. Rakavy does not disclose estimating the maximum level of utilization during receipt of the set of data by calculating an average level of utilization for the set of data upon repeating said monitoring step a

Art Unit: 2143

predetermined number of times during receipt of the set of data. In analogous art Garg discloses determining a maximum level of utilization by calculating an actual level of utilization for a previous time period (i.e. peak historical utilization monitored) (col. 12, lines 20-25). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Rakavy with Garg, since Rakavy discloses numerous methods of calculating line utilization and methods of determining if the data may be downloaded in the background (col. 13, lines 5-10; col. 13, line 66 to col. 14, line 7). This would motivate one of ordinary skill in the art to search for other methods of bandwidth utilization determining, eventually finding the system of Garg, which compares recent network utilization with historical network operation as supported by Garg (col. 2, lines 33-36).

15. Referring to claim 18, Rakavy discloses receiving at least a portion of the set of data over the network if the actual level is less than the threshold level for the set of data (Figure 6).

16. Referring to claim 19, Rakavy discloses receiving at least a portion of a second set of data over the network if the actual level is less than the threshold level for the set of data (col. 14, lines 32-60).

17. Referring to claim 20, it is inherent that the combined system of Rakavy and Garg has a computer-readable medium having computer executable instructions because it instructs the computer in the steps to complete the method.

18. Referring to claim 21, Rakavy discloses a computer system having a memory, an operating system and a central processor being able to execute the instructions stored on the computer-readable medium (col. 4, lines 46-67).

19. Referring to claims 29 and 30, Rakavy discloses the client machine receives the data over the network without substantially interfering with any other network activity (Rakavy discloses downloading the advertisements in a background mode over a communications link, which, as it is well known in the art, is designed to substantially reduce interference with other network activities that is user-oriented) (e.g. abstract).

20. Claims 22-27 are rejected for similar reasons as stated above.

Claims 10 and 11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rakavy in view of Garg as applied to claims 1 and 7-9 above, and further in view of Watanabe et al. (USPN 6,285,662) (hereinafter Watanabe).

21. Referring to claim 10, Rakavy in view of Garg disclose a method of transferring a set of data over a network as stated in the claims above. Rakavy in view of Garg do not

disclose the size of the discrete portions of the data is a function of the value of the counter. Watanabe discloses the size of the discrete portions of the data (contention window) is a function of the value of the counter (retransmission attempts) (col. 4, lines 59-63). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Watanabe with the system of Rakavy and Garg for improved throughput rates and power consumption performance of the sending station as disclosed in Watanabe (col. 1, lines 19-21).

22. Referring to claim 11, Rakavy in view of Garg disclose a method of transferring a set of data over a network as stated in the claims above. Rakavy in view of Garg do not disclose increasing the size of the discrete portions of the data when the value of the counter is greater than a predetermined value. Watanabe discloses increasing the size of the discrete portions of the data (contention window) when the value of the counter (retransmission attempts) is greater than a predetermined value (col. 5, lines 2-7). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Watanabe with the system of Rakavy and Garg for improved throughput rates and power consumption performance of the sending station as disclosed in Watanabe (col. 1, lines 19-21).

Claim 12 is rejected under 35 U.S.C. 103(a) as being unpatentable over Rakavy in view of Garg as applied to claims 1 and 7-9 above, and further in view of Elzur (USPN 6,427,169).

23. Rakavy in view of Garg disclose a method of transferring a set of data over a network as stated in the claims above. Rakavy in view of Garg do not disclose clearing the counter after receiving all of the plurality of discrete portions of the data over the network. Elzur discloses clearing the counter after receiving all of the plurality of discrete portions of the data over the network (col.9, lines 29-31). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Elzur with Rakavy and Garg to efficiently monitor the number of packets received for the data flow while minimizing the amount of memory space used.

Claim 13 is rejected under 35 U.S.C. 103(a) as being unpatentable over Rakavy in view of Garg as applied to claims 1 and 7-9 above, and further in view of Kalkunte et al. (USPN 6,078,591) (hereinafter Kalkunte).

24. Rakavy in view of Garg disclose a method of transferring a set of data over a network as stated in the claims above. Rakavy in view of Garg do not disclose clearing the counter if the level of actual utilization becomes greater than the threshold level. Kalkunte discloses clearing the counter if the level of actual utilization becomes greater than the threshold level (col. 8, line 59 to col. 9, line 7). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Kalkunte with Rakavy and Garg to efficiently monitor the bandwidth utilization of the system and to transfer packets of data according to the monitored bandwidth.

Claim 28 is rejected under 35 U.S.C. 103(a) as being unpatentable over Buch et al. (USPN 6,463,468) (hereinafter Buch) in view of Rakavy in view of Garg.

25. Buch discloses a method of communicating between a client process and a server process over a network, the method comprising:

- a. issuing to the server process a first download request which identifies a file and which request that the server process download a first segment of the file over the network (col. 12, lines 25-30);
- b. downloading, by the server process, the first segment of the file (col. 12, lines 32-34);
- c. issuing to the server process a further download request which is associated with the file and which requests that the server process download a further segment of the file over the network, provided the actual network bandwidth utilization is less than a threshold level (col. 12, lines 25-50);
- d. downloading, by the server process, the further segment of the file (col. 12, lines 39-42; Figure 11);
- e. repeating steps (c) and (d) until the server process has downloaded each segment of the file over the network (col. 12, lines 35-50).

Buch does not disclose that the threshold level is calculated as a function of a maximum monitored level of actual network bandwidth utilization. Rakavy in view of Garg disclose calculating a threshold level as a function of a maximum monitored level

Art Unit: 2143

of actual network bandwidth utilization (see above rejections). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Buch with Rakavy and Garg to streamline the system, increasing the efficiency by allowing "in-use" periods but low utilization to be harnessed to download files, resulting in increased throughput and less overhead.

Response to Arguments

26. Applicants arguments dated October 2, 2006 have been fully considered but they are moot in view of the new grounds of rejection.

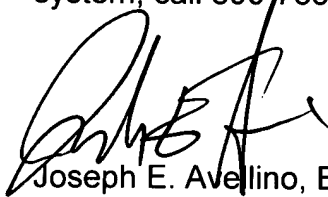
Conclusion

27. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

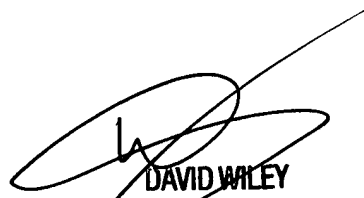
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joseph E. Avellino whose telephone number is (571) 272-3905. The examiner can normally be reached on Monday-Friday 7:00-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David A. Wiley can be reached on (571) 272-3923. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.



Joseph E. Avellino, Examiner
November 21, 2006



DAVID WILEY
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100